

#3 sector

PATENT  
005702-20035

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

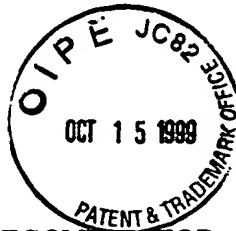
In re application of:

Shota KITAMURA, et al.

Serial No: 09/392,865

Filed: September 9, 1999

For: NONVOLATILE SEMICONDUCTOR  
MEMORY DEVICE AND ITS  
MANUFACTURING METHOD



Art Unit: 2812

Examiner: Not assigned

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION**

Box MISSING PARTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

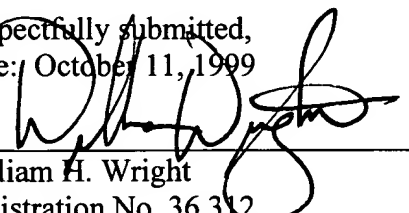
Dear Sir:

In response to the "Notice to File Missing Parts of Application, Filing Date Granted," dated September 27, 1999, response to which is due November 27, 1999, enclosed are the following:

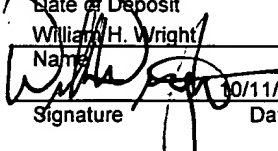
- ☒ A copy of the "Notice to File Missing Parts of Application Filing Date Granted".
- ☒ A "Declaration" executed by the inventor(s).
- ☒ A check in the amount of \$760 in payment of the filing fee.
- ☒ A check in the amount of \$130 to cover the surcharge.

The Commissioner is authorized to charge any additional amounts due in connection with this matter to our Deposit Account No. 12-1820. (A copy of this letter is enclosed).

Respectfully submitted,  
Date: October 11, 1999

By:   
William H. Wright  
Registration No. 36,312  
Attorney for Applicant(s)

LOEB & LOEB LLP  
10100 Santa Monica Blvd., 22nd Floor  
Los Angeles, California 90067-4164  
Customer No. 22335  
Telephone: 310-282-2000  
Facsimile: 310-282-2192

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents Washington D.C. 20231, on October 11, 1999	
Date of Deposit	
William H. Wright	
Name	
	10/11/1999
Signature	Date



10/16/99

APPLICATION NUMBER: 09/392,865 FILING DATE: 09/09/99 FIRST NAMED APPLICANT: KITAMURA ATTORNEY DOCKET NO/TITLE: S 005702-20035

LOEB & LOEB  
 10100 SANTA MONICA BLVD  
 22ND FLOOR  
 LOS ANGELES CA 90067-4164

026270327

NOT ASSIGNED

2812

DATE MAILED:

09/27/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of **\$65.00** for a small entity in compliance with 37 CFR 1.27, or **\$130.00** for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ small entity (statement filed) ☐ non-small entity is \$ 890  
☒ The basic filing fee is missing.  
☐ The basic filing fee is insufficient.  
☐ Applicant must submit the following to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27):

- ☒ 2. The following additional claim fees are due:
- \$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.
  - \$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.
  - \$ \_\_\_\_\_ for multiple dependent claim surcharge.
- Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.
- ☒ 3. The oath or declaration:  
☒ is missing or unsigned.  
☐ does not cover the newly submitted items.  
 An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.
- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.  
 A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

- An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.
- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).
- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.
- ☐ 8. The application was filed in a language other than English.  
 Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- ☐ 9. OTHER

Direct all reply and any questions about this notice to Attention: Box Missing Parts.  
**Copy of this notice MUST be returned with the reply.**

10/16/99